

 <b>KENTUCKY CORRECTIONS</b> Policies and Procedures	Policy Number  27-03-01	Total Pages  3
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Authority/References KRS 439.480, 439.420, 439.310, 439.380, 61.872 P&P ACA 3D-28, 3D-30	Subject  <b>CASE RECORD MANAGEMENT</b>	

## I. DEFINITIONS

“Case Folder” means a manila folder with fasteners on both sides to hold documents of offender information.

“Kentucky Offender Management System (KOMS)” is the case management system of the Kentucky Department of Corrections.

## II. POLICY and PROCEDURES

A. A case record shall be maintained in the probation and parole office files on all offenders under supervision. Information shall be released only to persons authorized by appropriate regulations.

### B. The Case Folder

1. A case folder shall be prepared on all active supervision cases.
2. The label shall list last name (court name), first name and middle name, the date of birth and the type of case.

### C. Method of Filing

1. All active case folders are to be filed alphabetically. The inactive shall also be filed alphabetically but separate from the active case folders.
2. Active supervision cases are kept in a file in the local probation and parole office.
3. Upon ensuring that all required documentation has been uploaded to the case management system, the file shall be closed.

### D. Organization of File

Case files shall be kept neat and orderly.

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1. Supervision related documents shall be retained on the right side of the folder in chronological order ending with current supervision materials.
2. Releasee reports shall be retained on the left side of the case folder. At minimum, six months of releasee reports shall be retained.

E. Kentucky Offender Management System (KOMS)

1. Offender information shall be entered into the offender management system in the following sections and updated as changes occur:

Supervision History  
 Court Orders  
 Sentence Components  
 Supervision Fees and Offender Payee Accounts  
 Special Conditions  
 Risk Assessments  
 Supervision Contacts  
 Supervision Cautions  
 Drug Tests  
 Pre-Sentence Information  
 Offender Demographics  
 Residential History  
 Telephone Numbers  
 Relatives  
 Employment History  
 Educational History  
 Vehicle History  
 Military Service History  
 Arrest History  
 External Movement  
 Scanned Documents  
 Investigation Alerts  
 Transfers  
 Parole Plan  
 Investigations  
 Victim Information  
 Offender Standard Forms

2. Mandatory entry of all contacts with offender shall occur within three (3) working days.

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3. Supervision documents shall be entered or uploaded into the case management system and updated, as changes occur.

E. Security

All records not in use shall be stored under a minimum of one lock (individual office door, file room door, or cabinet). All records in use shall be directly supervised and controlled by an agency employee. No unauthorized person(s) shall access a record.

F. Privacy of Case Records

Release of information contained in the case file is to conform to CPP 6.1 (Open Records Law) as required by statute.

G. Records Review

The policies and procedures for governing case record management shall be reviewed at least annually.

H. Retention and Disposal Schedule

Case records of discharged offenders shall be retained in the field office for the length of time specified in the applicable State Retention and Disposal Schedule for the Corrections Cabinet prepared by the Archives and Records Center. The records shall also be destroyed in the manner set forth in the schedule.